

Attorney Docket No. 3001 P 009



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PATENT TRADEMARK OFFICE

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Continuation Patent Application Of:  
Kenneth Kiron and Kevin S. Bander

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Group Art Unit: 2761

Application No.: 09/579,801

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Confirmation No.: 8044

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Filed: May 26, 2000

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For: Open End Mutual Fund Securitization Process )

Box Patent Application

Fee

Commissioner For Patents

Washington, D.C. 20231

J1000 U.S. PTO  
09/840583  
04/23/01

**SECOND PRELIMINARY AMENDMENT**

Dear Sir:

Before examination, please amend the instant Application as follows.

**In the Claims:**

Please cancel Claims 8, 52 and 54-74 without prejudice.

Please replace claim 53 with the following corresponding amended claim:

53. (Amended) A method comprising the steps of:

identifying a group of securities;

separating the group of securities into a sector comprising a subset of the group of securities within a substantially similar industry;

creating an open end fund having a number of outstanding shares and comprising of the securities within the sector;

changing the securities comprising the sector;

changing the securities comprising the fund in response to the changing of the securities comprising the sector;

trading the outstanding shares of the fund on an exchange at a real time determined price related to the securities comprising the sector; and

outputting an indication of the real time determined price in a humanly readable format.